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APPROVAL SIGNATURES		DATE
Gregory Blaney (original signature on file)	IMS Representative	08/02/2011


REVISION HISTORY			
Revision	Description of Change	Author	Effective Date
Basic	Initial Release	Zachary Stewart	10/01/2009
A	Updated Reference Documents to point to new In/Change-Processing and Out-Processing forms	Sara Cain	10/20/2009
B	Updated verbiage in Section 6.0, <i>Records</i> , and precedence statement after Reference Documents table	David Sheldon	06/22/2010
C	Update Sections 4.1.1 and 4.3 re COTR notification	Zachary Stewart	01/18/2011
D	Increase scope to include external customers; add Applicant and PII definitions; add links for IMS Forms 1801/1803; remove NF 1760 references; and add email addresses to submit forms	David Sheldon	08/02/2011

CHECK THE MASTER LIST at <http://ims.ivv.nasa.gov>
VERIFY THAT THIS IS THE CORRECT REVISION BEFORE USE

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REFERENCE DOCUMENTS	
Document	Title
Form 1801	NASA IV&V Facility In/Change-Processing
Form 1803	NASA IV&V Facility Out-Processing
Form I-9	USCIS Employment Eligibility Verification
GPR 1600.1	Goddard Security Requirements
HSPD-12	Homeland Security Presidential Directive-12
IVV QM	NASA IV&V Quality Manual
IVV 16	Control of Records
NPD 1600.2	NASA Security Policy
NPR 1441.1	NASA Records Retention Schedules
NPR 1600.1	NASA Security Program Procedural Requirements
OF 306	Declaration for Federal Employment
http://www.opm.gov/e-qip/	e-QIP web site
https://saturn.nasa.gov	NASA SATERN web site

If any process in this document conflicts with any document in NODIS, this document shall be superseded by the NODIS document. Any reference document external to NODIS shall be monitored by the Process Owner for current versioning.

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1.0 Purpose

The purpose of this system level procedure (SLP) is to establish In-Processing, Change-Processing, and Out-Processing procedures for employees, customers, and guests needing physical and/or electronic access to NASA IV&V resources. These procedures meet the standards of the HSPD (Homeland Security Presidential Directive)-12 and local requirements for gaining physical/logical access to NASA IV&V resources.

2.0 Scope

This SLP applies to all prospective and existing NASA IV&V personnel, including: civil service and contract employees, Foreign Nationals and United States citizens, and on- and off-site employees, customers and guests. This SLP also applies to anyone who requires access to a NASA IV&V information system, but are not NASA IV&V Program employees.


The NASA IV&V Program requires certain credentials in order to accommodate proper badge/information technology (IT) processing for applicants, regardless of whether they are new, making changes, or leaving the NASA IV&V Program.

3.0 Definitions and Acronyms

Official NASA IV&V roles and terms are defined in the [Quality Manual](#). Specialized definitions identified in this SLP are defined below.

3.1 Applicant

The Applicant is anyone requesting physical or electronic access to NASA IV&V resources. The applicant is responsible for submitting all credentials necessary for requesting physical or electronic access to NASA facilities or resources. The employer of an applicant may submit forms and notifications on behalf of the applicant.

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3.2 Basic Information Technology (IT) Security Training

Basic IT Security Training is training required for all applicants requesting computer access. All applicants requesting access to NASA systems must complete and pass Basic IT Security Training through the System for Administration, Training, and Educational Resources for NASA (SATERN) (<https://satern.nasa.gov>).

3.3 e-QIP

The Electronic Questionnaire for Investigations Processing system (e-QIP) is part of an e-government initiative sponsored by the United States Office of Personnel Management (OPM). The e-QIP system allows the applicant to electronically enter, update, and transmit personal investigative data over a secure Internet connection to the employing agency for review and approval.

3.4 Foreign National

A Foreign National is any person who is not a citizen of the United States. For more information regarding NASA IV&V access for Foreign Nationals, contact David Sheldon at David.P.Sheldon@nasa.gov.

3.5 Goddard Space Flight Center (GSFC) Security


GSFC Security performs background investigations and authorizes identities in IdMAX for the badging portion of the In-Processing procedure.

3.6 Identity (ID) Manager

The NASA IV&V ID Manager coordinates all aspects of personnel processing and technical maintenance for all personnel working at or associated with the NASA IV&V Facility.

3.7 Identity Management and Account Exchange (IdMAX)

IdMAX is an Agency web application used by the ID Manager for identity creation and In/Change/Out-Processing for Applicants.

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3.8 National Agency Check with Inquiries (NACI)

NACI is the minimum level of investigation required of Federal employees as a condition of employment with the Federal government and for contract employees as a condition for access to Federal facilities and information systems. It includes a check of law enforcement records and written inquiries to schools, police departments, and other references to verify an Applicant's status. The required background investigation also includes a fingerprint check of the applicant.

3.9 Permanent Employee

A permanent employee is any civil service or contract employee requesting access to a NASA facility for 180 days or more. All permanent employees must be PIV badged.

3.10 Personally Identifiable Information (PII)


Personally Identifiable Information is any information about an individual, including, but not limited to, education, financial transactions, medical history, and criminal or employment history and information which can be used to distinguish or trace an individual's identity. Examples include: date of birth, place of birth, social security number, alien registration number, mother's maiden name, medications, and vehicle license numbers.

3.11 Personnel Identification Verification (PIV) Authorizer

The PIV Authorizer is a civil service employee and GSFC Security Official who initiates any required background investigation for the applicant. The PIV Authorizer communicates with the PIV Requester/Sponsor regarding the applicant's need for enrollment, the applicant's e-QIP, etc., and authorizes the applicant for enrollment and badge issuance.

3.12 PIV Enrollment

PIV enrollment is the process that prompts the NACI investigation. For PIV enrollment, the employee must submit electronic copies of various credentials, as well as two documents from the Lists of Acceptable

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Documents as listed on United States Citizenship and Immigration Services (USCIS) Form I-9, needed by the Office of Personnel Management (OPM). For detailed information on acceptable documents, see the [Form I-9 Document List](#).

3.13 PIV Requester

The PIV Requester provides initial data about the applicant and submits a PIV request in IdMAX on behalf of the applicant.

3.14 PIV Sponsor

The PIV Sponsor is a NASA civil service employee who validates the information between the applicant and the Agency in IdMAX. For NASA IV&V civil service employees, the sponsor is the GSFC Office of Human Capital Management (OHCM). For contract employees, the sponsor is the COTR or another NASA civil service employee responsible for work requirements.

3.15 RSA SecurID®Token


An RSA SecurID® Token is a portable device required by NASA for access to NASA IT resources.

3.16 Temporary Badge

A local temporary badge may be issued by NASA IV&V Security while the issuance of an official PIV badge is pending.


3.17 Temporary Applicant

A temporary applicant is an applicant who is requesting access to the NASA IV&V Facility for less than 180 days and will not be PIV enrolled. A temporary applicant, like any other applicant, must complete Basic IT Security Training.

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3.18 Acronyms

COTR	Contracting Officer Technical Representative
e-QIP	Electronic Questionnaires for Investigations Processing
GPR	Goddard Procedural Requirements
GSFC	Goddard Space Flight Center
HSPD	Homeland Security Presidential Directive
IdMAX	Identity Management and Account Exchange
IMS	NASA IV&V Management System
IT	Information Technology
LISTS	Locator and Information Services Tracking Systems
MSFC	Marshall Space Flight Center
NACI	National Agency Check with Inquiries
NF	NASA Form
NPD	NASA Policy Directive
NPR	NASA Procedural Requirement
OHCM	Office of Human Capital Management
OPM	Office of Personnel Management
PII	Personally Identifiable Information
PIV	Personnel Identification Verification
PM	Project Manager
SLP	System Level Procedure
USCIS	United States Citizenship and Immigration Services
VPN	Virtual Private Network

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4.0 Process Flow Diagrams

Two different forms are used for the scenarios described. The employee should identify which scenario best fits his/her situation and follow the instructions provided on the appropriate form.

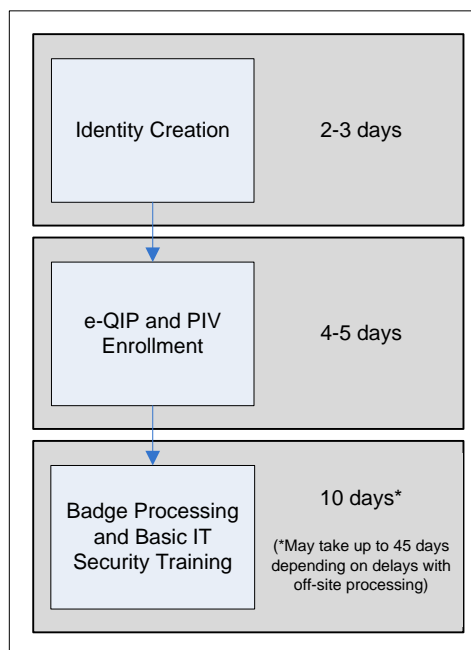
- An Applicant who is requesting access to NASA IV&V resources (on-site or off-site) shall submit [IMS Form 1801](#), *NASA IV&V Facility In/ Change-Processing*, via approved NASA encrypted email attachment, to David.P.Sheldon@nasa.gov and Donna.S.Ozburn@nasa.gov. This form is also used for a vetted user (a user who has already been in-processed at another NASA Center). For external customers, it is the responsibility of the NASA IV&V PM or task lead to coordinate and ensure Form 1801 is submitted.
- An Applicant who is requesting a change in his/her name, address, location, any other non-contractual change, or contract only change will fill out IMS Form 1801, *NASA IV&V Facility In/Change-Processing*, only filling out the fields applicable to the change being requested.
- An Applicant who is leaving the NASA IV&V Program and no longer needs access to any NASA IV&V resources must submit [IMS Form 1803](#), *NASA IV&V Facility Out-Processing*. For external customers, it is the responsibility of the NASA IV&V PM or task lead to coordinate and ensure Form 1803 is submitted in a timely manner.

If an employee changes both contract and contractor (company), the employee's former contractor must complete Form 1803, and the employee's new contractor must complete Form 1801.

The following diagrams depict the processes described in this SLP, and the responsibilities and actions that shall be performed by the process participants or designees. Any information supplemental to a depicted process will appear after the diagram.

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4.1 In-Processing




The procedure for in-processing an applicant can be broken down into three basic stages:

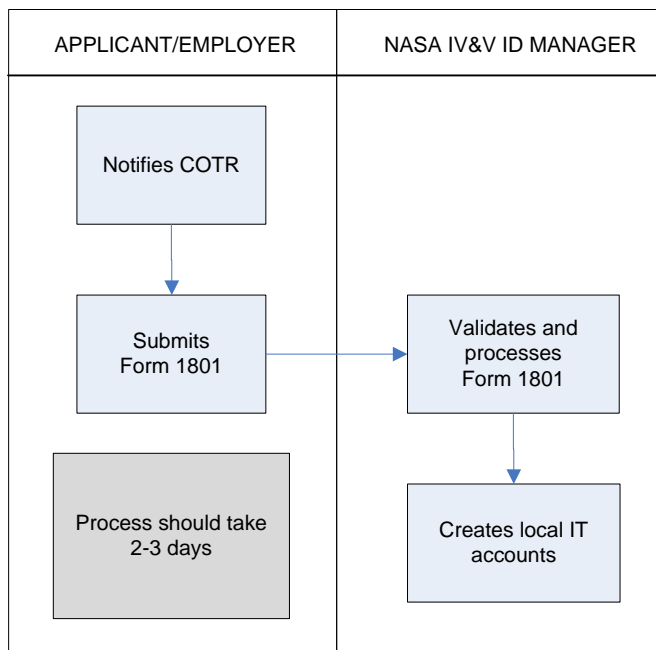
- Identity Creation
- e-QIP and PIV Enrollment
- Badge Processing and Basic IT Security Training

The processes for each of these stages are captured in Sections 4.1.1, 4.1.2, and 4.1.3 of this SLP. The purpose of this flow is to demonstrate how those processes relate sequentially to fulfill the task of In-Processing an applicant, while also providing the overall timeline by which the individual processes operate.

An applicant who is already vetted at another NASA center may not be required to complete all steps.

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4.1.1 Identity Creation



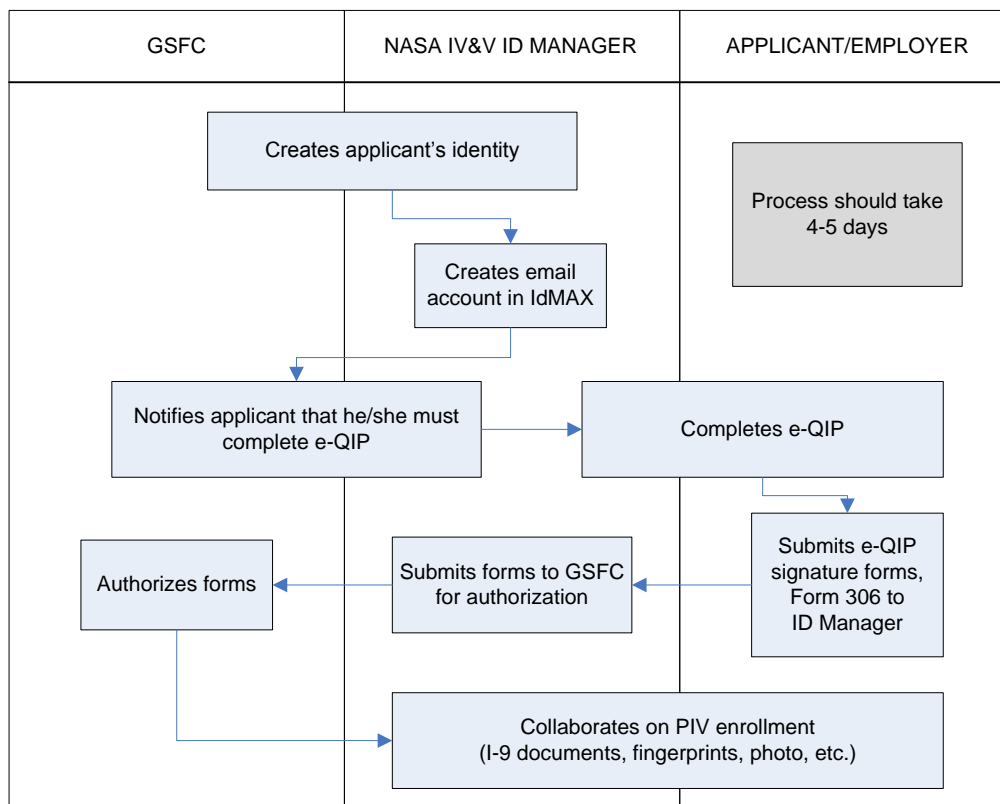
To in-process, an Applicant or the Applicant's employer shall submit all required information as soon as possible, but at least 15 business days in advance of the Applicant's arrival at the NASA IV&V Facility. For contract employees, their employer shall notify their COTR prior to submitting in-processing forms.

To begin the process, the Applicant must submit, via approved NASA encrypted email attachment, a completed [IMS Form 1801](#) to David.P.Sheldon@nasa.gov and Donna.S.Ozburn@nasa.gov . All information on the form must be completed correctly before submission to NASA.

The ID Manager shall be responsible for creating the Applicant's identity and IT accounts in NASA IV&V systems; however, the Applicant will not have access to these resources until his or her identity has been vetted.

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4.1.2 e-QIP and PIV Enrollment



After the ID Manager and GSFC collaborate to establish the Applicant's identity, approval from the sponsor must be completed to proceed any further.

Once the ID Manager creates the Applicant's e-mail account in IdMAX, the Applicant will receive an email from GSFC or NASA IV&V notifying the Applicant to begin the e-QIP process. The Applicant may access the e-QIP system via the e-QIP web site (<http://www.opm.gov/e-qip/>).

Upon completion of the e-QIP process, the Applicant must submit the two e-QIP signature forms as well as OPM form [OF 306](#), *Declaration for Federal Employment*, to the ID Manager. Then, the

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ID Manager will notify the Applicant when it is time to begin PIV Enrollment.

The Applicant must schedule an appointment with the ID Manager in order to complete the PIV enrollment process. The appointment **must be made within three business days** of receiving notice of enrollment eligibility.

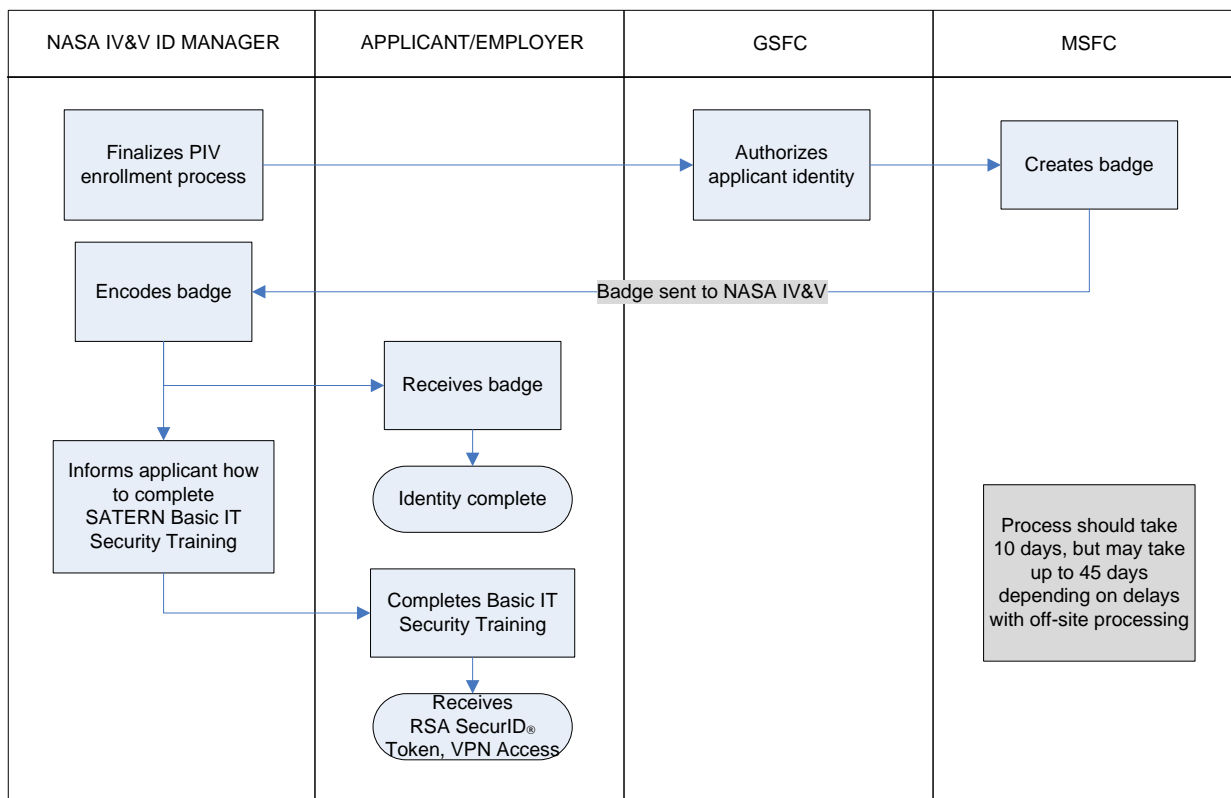
For PIV Enrollment, the Applicant must:

- Provide two [Form I-9](#) documents, to be electronically scanned by the ID Manager
- Be fingerprinted electronically
- Have his/her photograph taken
- Electronically sign an agreement with the NASA Privacy Act Statement

Upon completion of these steps, the ID Manager shall release the Applicant's information and credentials to the OPM to start the NACI investigation process.


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4.1.3 Badge Processing and Basic IT Security Training



Before a PIV badge is issued, the GSFC PIV Authorizer must authorize the Applicant's identity to complete PIV Enrollment. The NASA central badging facility will be notified when PIV Enrollment has been completed.

The Applicant's badge will be created at the NASA central badging facility, Marshall Space Flight Center (MSFC). The ID Manger shall encode the Applicant's badge upon its arrival at the NASA IV&V Facility and notify the Applicant when the badge is ready to be finalized. Fingerprint recognition is required to finalize a badge. On-site Applicants must go to the front security desk located in Building 1, 100 University Drive, to receive the badge. Off-site Applicants shall go to the NASA Center that has contacted him/her about receiving the badge.

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Finalization of the badge indicates that the Applicant's identity is complete, and the Applicant is granted physical access to NASA IV&V resources. To gain electronic access, the Applicant is required to take the Basic IT Security Training course through SATERN. The ID Manager will send the Applicant an email containing the Applicant's username and password for the SATERN system. Civil service employees will need to contact the NASA IV&V Help Desk for assistance on accessing the SATERN system.

Proof of completed Basic IT Security Training is needed to begin the process of getting an RSA Token and a Virtual Private Network (VPN) account for remote network access. Once these steps are completed, the Applicant has physical and electronic access to NASA IV&V resources.

4.2 Change-Processing

An applicant who is requesting a change in his or her name, address, location, any other non-contractual change, or contract only change should fill out [Form 1801](#), only filling out the fields applicable to the change being requested.

Only forms containing Personally Identifiable Information (PII) need to be sent using NASA approved encryption. Examples of PII on Form 1801 include: date of birth, place of birth, social security number, alien registration number, mother's maiden name, medications, and vehicle license numbers. The applicant or employer shall submit the completed form to David.P.Sheldon@nasa.gov and Donna.S.Ozburn@nasa.gov, who will be responsible for ensuring the implementation of the requested change. The ID Manager will notify the applicant when the change has been implemented.


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4.3 Out-Processing

Prior to the last day of service with the NASA IV&V Program, anyone who has been In-Processed is required to submit [Form 1803](#). For external customers, it is the responsibility of the NASA IV&V PM or task lead to coordinate and ensure Form 1803 is submitted when access is no longer required.

A contractor employee or employer shall inform their COTR of their out-processing plans prior to submitting Form 1803. The employee is responsible for ensuring that Sections 1, 2, and 3 are filled out completely and have received the proper signatures.

Upon submitting the form, the applicant is responsible for ensuring that the vacated office space has been cleaned out and that all government items (e.g., badge, keys, books, tokens) have been returned to the proper personnel. The ID Manager will complete Section 4 of Form 1803 pending the fulfillment of this step, thereby completing the applicant's Out-Processing.

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5.0 Metrics

Any metrics associated with this SLP are established and tracked within the NASA IV&V Metrics Program.

6.0 Records

The following records will be generated or updated and filed in accordance with this SLP and IVV 16, *Control of Records*, and in reference to NPR 1441.1, *NASA Records Retention Schedules*.

Record Name	Original	Vital	Responsible Person	Retention Requirement	Location
In/Change-Processing Form 1801 (Form 180-01 prior to October 20, 2009)	Y	N	ID Manager	Retain for a period of time depending on the need for use; destroy or otherwise dispose of when superseded or no longer needed (1/104)	ECM System
Out-Processing Form 1803 (Form 180-03 prior to October 20, 2009)	Y	N	ID Manager	Retain for a period of time depending on the need for use; destroy or otherwise dispose of when superseded or no longer needed (1/104)	ECM System
NASA IV&V Orientation signature page	Y	N	ID Manager	Retain for a period of time depending on the need for use; destroy or otherwise dispose of when superseded or no longer needed (1/104)	ECM System